



## ***Senior Agency Official for Records Management FY 2015 Annual Report***

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

### **Instructions for Reporting**

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to [prmd@nara.gov](mailto:prmd@nara.gov). Include the words “SAO annual report” and your agency’s name in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

**Provide the following information (required):**

Name of SAO: Christopher J. Bavasi

Position title: Executive Director

Address: P.O. Box KK, Flagstaff, AZ 86002

Office telephone number: (928) 779-2721

1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

*Please list them below:* Office of Navajo and Hopi Indian Relocation

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes       No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- The agency has established approved e-mail policies.
- The agency is capturing e-mail automatically through the use of a retrieval system called the Orca Nano.
- The Orca Nano provides access and retrievability of e-mail.
- Disposition of agency e-mail will be to transfer the electronic e-mail from the Orca Nano to NARA.
- There are no current plans by the agency to implement the Capstone approach for managing agency e-mail.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

The actions taken are described in item 2a above. Currently, those actions have provided for the agency to meet the goal of managing e-mail records in an accessible electronic format by 12/31/2016.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes       No

*Please provide a brief description of the actions taken, such as establishing policies and providing training.*

The agency is in the process of establishing and/or updating e-mail policies to include copying or forwarding of text messages received or sent from non-official accounts to official accounts within the next 20 days.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

- All e-mails generated from this agency or received by this agency is captured and archived using the Orca Nano system.
- Text messages received regarding agency business on employee mobile phones must be forwarded to the employee's mailbox as soon as possible.
- Chats and instant messaging is not available for users.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes       No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

The agency has purchased an e-mail archival system to capture and manage all e-mails generated from or sent to this agency.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

The agency has met the 2016 goal, but will continue to stay updated on any changes.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes       No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- The agency will continue to update our electronic records policies as changes occur
- The agency will continue to use the current systems that are implemented at this time to capture all electronic records. There are no plans to digitize any records created in hard copy format or other analog formats.
- The agency will continue to use the equipment in place currently to provide for access and retrievability of our records.
- The agency will continue to establish procedures and policies for disposition of agency electronic records.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.  
Please refer to Item 6a regarding future plan or actions to continue to meet the goal.*

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

*Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.*

The agency has not experienced negative outcomes, challenges or other obstacles in its efforts to implement the Directive and transition to a digital government. The agency has accomplished both goals as outlined in the Directive as follows:

- 1.1 All permanent electronic records are managed electronically to the fullest extent possible for eventual transfer in an electronic format. The agency does currently retain hard copy permanent records but there are no plans to digitize these records.
- 1.2 All e-mail records are retained in an electronic system that supports records management and litigation requirements including the capability to identify, retrieve and retain these records for as long as needed.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes       No

8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

The agency will not be affected by the upcoming change in Presidential administration and as a result there will be no departing senior officials within this agency.

- 8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

The agency does not anticipate departure of agency senior officials due to the change in Presidential administration and as a result there are no future plans at this time. The agency has established existing records management procedures for existing agency records which will ensure that agency federal records are not improperly removed from the agency by a departing employee.